

Adopted: March 13, 1990

**ACADEMIC SENATE
OF
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, California**

**AS-332-90/PPC
RESOLUTION ON
PERIODIC EVALUATION OF FACULTY UNIT EMPLOYEES**

- WHEREAS, The Campus Administrative Manual (CAM) contains no procedures for Periodic Evaluation of Faculty Unit Employees; and
- WHEREAS, Such Periodic Evaluation is mandated in the Memorandum of Understanding between the CSU and Unit 3-Faculty; therefore, be it
- RESOLVED: That the attached CAM 345 be added; and be it further
- RESOLVED: That the current CAM 345 be renumbered to CAM 346.

Proposed By:
Academic Senate Personnel
Policies Committee
Date: February 6, 1990
Revised: February 20,
1990

C.A.M. 345 PERIODIC EVALUATION OF FACULTY UNIT EMPLOYEES

A. Definition of Periodic Evaluation

A periodic evaluation of a faculty unit employee shall normally be required for the following purposes:

1. Evaluation of temporary faculty unit employees.
2. Evaluation of probationary faculty unit employees who are not subject to a performance review for retention. For example, a probationary faculty member who receives an initial two-year appointment will undergo a periodic evaluation during his/her first year.
3. Evaluation of tenured faculty unit employees who are not subject to a performance review for promotion.

B. Evaluation Procedures - see C.A.M. 341

C.A.M. 345.1 PERIODIC EVALUATION OF TEMPORARY FACULTY UNIT EMPLOYEES

A. Procedures (also see C.A.M. 341.1.A)

1. Full-time temporary faculty unit employees (e.g., full-time coaches and lecturers) appointed for the entire academic year must be evaluated during that year by a peer committee of the department or equivalent unit, the department head/chair and dean. Members of the peer committee chosen for the evaluation of full-time temporary faculty unit employees must be full-time, tenured faculty unit employees.
2. Part-time temporary faculty unit employees appointed for the entire academic year must be evaluated by the department head/chair. A peer committee evaluation is not required. However, full-time tenured faculty should be given the opportunity to provide evaluative statements and such statements shall be written and signed.
3. Any temporary faculty unit employee (full-time or part-time) appointed for one or two quarters are to be evaluated at the discretion of the department head/chair, the dean, or the department or equivalent unit. such an employee may request that an evaluation be performed. The request must be in writing and must be accompanied by an updated resume. The request must be submitted to the department head/chair by the established

deadline.

4. A written record of a periodic evaluation shall be placed in the temporary faculty unit employee's Personnel Action File. The temporary faculty unit employee shall be provided a copy of the written record of the evaluation.

B. Criteria (also see C.A.M. 341.1.B)

1. For temporary faculty unit employees with teaching duties, student evaluations of teaching performance shall be considered.

C.A.M. 345.2 PERIODIC EVALUATION OF PROBATIONARY FACULTY

A. Procedures (also see C.A.M. 341.1.A and C.A.M. 343.1.A)

1. Periodic evaluation of probationary faculty shall be conducted by the department Peer Review Committee, the department head/chair and the dean in any year in which the probationary faculty unit member is not subject to a performance review for retention.
2. A written record of a periodic evaluation shall be placed in the probationary faculty unit employee's Personnel Action File. A probationary faculty unit employee shall be provided a copy of the written record of the periodic evaluation.

B. Criteria (see C.A.M. 341.1.B and C.A.M. 343.1.A)

C.A.M. 345.3 ANNUAL EVALUATION OF TENURED FACULTY UNIT EMPLOYEES

A. Procedures

1. Tenured faculty unit employees who are eligible for a Merit Salary Adjustment and who are below Step 19 (or Step 11 for those on the designated market discipline salary schedule) and who are not applying for promotion shall be evaluated by the department head/chair and the dean.
2. A written record of this annual evaluation shall be placed in the tenured faculty unit employee's Personnel Action File, with a copy of this written record provided to the employee.

B. Criteria (see C.A.M. 341.1.B)

**C.A.M. 345.4 PERIODIC EVALUATION OF TENURED FACULTY UNIT
EMPLOYEES**

A. Procedures

1. Tenured Professors (Librarians)

(a) During the year in which a tenured professor (librarian) reaches Step 19 (or Step 11 for those on the designated market discipline salary schedule), s/he shall be subject to a periodic evaluation.

2. Tenured Assistant or Associate Professors (Senior Assistant or Associate Librarian)

(a) During the year in which a tenured assistant or associate professor (senior assistant or associate librarian) has received a fourth Merit Salary Adjustment and/or has reached the maximum salary for a given rank, s/he shall be subject to a periodic evaluation if s/he does not apply for promotion.

3. Periodic evaluation of tenured faculty unit employees at any rank shall occur at least once every five years after the initial periodic evaluation. Performance reviews for promotion can serve as periodic reviews for the purposes of this section. More frequent periodic evaluation of a tenured faculty unit member may be requested by the employee, department head/chair or dean. After such a request, a periodic evaluation shall be conducted as soon as possible.

4. Periodic evaluation of a tenured faculty unit employee shall be conducted by an elected peer committee of the department or equivalent unit, and the appropriate administrator (department head/chair or dean). If the dean is the appropriate administrator, the peer committee report shall be sent to the dean via the department head/chair. The peer committee members shall be tenured professors when evaluating professors and associate professors (librarians and associate librarians); and shall be tenured professors and/or associate professors (librarians and/or associate librarians) when evaluating assistant professors (senior assistant librarians).

5. A tenured faculty unit employee shall be provided a copy of the peer committee report of his/her periodic evaluation. The peer committee chair and

the appropriate administrator shall meet with the tenured faculty unit employee to discuss his/her strengths and weaknesses along with suggestions, if any, for his/her improvement.

6. Copies of the periodic evaluation report shall be placed in the tenured faculty unit employee's Personnel Action File, and shall be provided to the employee.

B. Criteria

1. The purpose of periodic evaluation of tenured faculty is to maintain and improve a tenured faculty unit employee's effectiveness.
2. See C.A.M. 341.1.B.

AM 341.1. C. Post Tenure Peer Review

Schools and departments, with student participation, should develop procedures for peer evaluation of tenured faculty instructional performance including currency in the field, appropriate to university education. The procedures shall be compatible with the following University guidelines:

1. Annually, department heads and deans will be required to evaluate tenured Assistant Professors, steps 1 - 4; tenured Associate Professors, steps 1 - 4; and tenured Professors, steps 1 - 3, for merit salary adjustment purposes only. This will be accomplished by using pages 4 and 5, Form 109 (Faculty Evaluation Form).

Assistant Professors, step 5; Associate Professors, step 5; and Professors, steps 4 and 5, shall undergo post-tenure peer review at least once every five years. In addition, if a department head or dean has reason to believe that a faculty member is performing unsatisfactorily, a post-tenure peer review by the departmental full Professors shall be conducted as soon as possible.

2. Post-Tenure review of Professors

- a. All Professors at Step 4 shall undergo a post-tenure peer review by the departmental tenured full Professors prior to June 1 of the academic year they reach that rank/step.
- b. Peer review of tenured Professors, Step 5, shall occur at least once every five years after initial evaluation.

- (1) Only departmental tenured full Professors are eligible to participate at the first level of peer review.

Revised November, 1980

Added November, 1980 *

- (2) If the department has no tenured Professors, the evaluation shall be conducted only by the department head and dean. Consideration shall be given to student evaluations.

- (3) The criteria for post-tenure review of full Professors will be the same as for promotion to the Professor level, unless supplemental department or school criteria are approved.

3. Post-tenure peer review of Associate Professors

- a. During the academic year that a tenured Associate Professor reaches Step 5, one of the following two courses of action shall be taken:

- (1) If the professor requests promotion consideration, the evaluation shall be conducted under established promotion procedures and criteria. Such evaluation will be considered as satisfying the requirements for post-tenure peer review.

- (2) If promotion consideration is not requested, a peer review by the departmental professors shall be made in accordance with Board of Trustee policy.

- (a) The criteria for post-tenure review shall be the same as for promotion to Associate Professor, unless supplemental department or school criteria are approved.

- (b) If the department has no tenured Professors, the evaluation shall be conducted by the department head and dean. Consideration shall be given to student evaluation.

- (c) Peer review of tenured Associate Professors, Step 5, shall occur at least once every five years.

- b. Although post-tenure peer review of Associate Professors below Step 5 is not required, such faculty shall arrange for periodic conferences with the department head and senior faculty for advice and assistance regarding progress toward promotion during the year they are at Step 3.

4. Post-tenure Review Assistant Professors

- a. During the academic year that a tenured Assistant Professor reaches Step 5, one of the following two courses of action shall be taken:

- (1) If the professor requests promotion consideration, evaluation shall be under established promotion procedures and criteria. Such evaluation will be considered as satisfying the requirements for post-tenure review.

- (2) If promotion consideration is not requested, peer review by the department Professors shall be made in accordance with Board of Trustee policy.

- (a) The criteria for evaluation shall be the same as for the award of tenure, unless supplemental department or school criteria are approved.

- (b) If the department has no tenured Professors, the evaluation shall be conducted by the department head and dean. Consideration shall be given to student evaluations.

- b. Post-tenure review of tenured Assistant Professors, step 5, shall occur at least once every five years.

5. The Faculty Evaluation Form 109 can be used in its present form or modified as appropriate to meet specific departmental or school needs. The peer evaluation may be in a written narrative form signed by the committee chairman or by individuals who reviewed the professor. The evaluation shall include the process used, the reasons for recommendations, and evidence in sufficient detail to validate the findings. In those instances where the consultative evaluations represent a consensus opinion signed by the committee chairperson, the filing of a minority report by committee member(s) whose opinions differ from the views expressed in the majority report should accompany the majority report at the time it is forwarded to the department head.
6. Post-tenure peer evaluations shall be forwarded to the department head no later than May 1. Department heads' and deans' evaluations should be completed prior to June 1, using Faculty Evaluation Form 109. The department head shall meet with each faculty member evaluated to discuss the results of the evaluations. If areas for improvement are identified, the department head shall advise the faculty member of avenues for assistance available within the department or university. The written evaluations shall be placed in the faculty member's personnel file which is maintained in the school dean's office.

Memorandum

RECEIVED

CAL POLY
SAN LUIS OBISPO
CA 93407

To : James L. Murphy, Chair
Academic Senate

SEP 10 1990

Date : August 30, 1990

Academic Senate

File No.:

Copies : Robert Koob
Philip Bailey
School Deans
Jan Pieper
Mike Suess

From : Warren J. Baker
President

Subject: AS-332-90/PPC

The resolution on "Periodic Evaluation of Faculty Unit Employees" has been reviewed. Please extend my appreciation to the Personnel Policies Committee for developing the proposed changes. In approving the CAM revision, the following modifications will be incorporated into the final text.

1. Since it is important that the department heads/chairs and deans participate in the periodic review of tenured faculty unit employees, the first sentence in Section 345.4A.4, will be modified as described below, and the second sentence will be deleted:

"Periodic evaluation of a tenured faculty unit employee shall be conducted by an elected peer committee of the department or equivalent unit, ~~and the appropriate administrator (department head/chair or and dean). If the dean is the appropriate administrator, the peer committee report shall be sent to the dean via the department head/chair...."~~

Also, the second sentence in 345.4A.5, will be changed to read:

"The peer review committee, ~~and the department head/chair and dean~~ appropriate administrator shall meet with the tenured faculty unit employee to discuss his/her strengths and weaknesses..."

2. The few minor "pen and ink" editorial changes reflected in the appended copy of the resolution are a result of renumbering the latest revision of Chapter 3 of CAM.

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2. Evaluation of probationary faculty unit employees who are not subject to a performance review for retention. For example, a probationary faculty member who receives an initial two-year appointment will undergo a periodic evaluation during his/her first year.
3. Evaluation of tenured faculty unit employees who are not subject to a performance review for promotion.

B. Evaluation Procedures - see C.A.M. 341.1.A.

C.A.M. 345.1 PERIODIC EVALUATION OF TEMPORARY FACULTY UNIT EMPLOYEES

A. Procedures (also see C.A.M. 341.1.A).

1. Full-time temporary faculty unit employees (e.g., full-time coaches and lecturers) appointed for the entire academic year must be evaluated during that year by a peer committee of the department or equivalent unit, the department head/chair and dean. Members of the peer committee chosen for the evaluation of full-time temporary faculty unit employees must be full-time, tenured faculty unit employees.
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deadline.

4. A written record of a periodic evaluation shall be placed in the temporary faculty unit employee's Personnel Action File. The temporary faculty unit employee shall be provided a copy of the written record of the evaluation.

B. Criteria (~~also~~ see C.A.M. 341.1.B)

1. For temporary faculty unit employees with teaching duties, student evaluations of teaching performance shall be considered.

C.A.M. 345.2 PERIODIC EVALUATION OF PROBATIONARY FACULTY

A and B

A. Procedures (also see C.A.M. 341.1.A and C.A.M. 343.1A)

1. Periodic evaluation of probationary faculty shall be conducted by the department Peer Review Committee, the department head/chair and the dean in any year in which the probationary faculty unit member is not subject to a performance review for retention.
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B. Criteria (see C.A.M. 341.1.B and C.A.M. 343.1A) ^C

C.A.M. 345.3 ANNUAL EVALUATION OF TENURED FACULTY UNIT EMPLOYEES

A. Procedures

1. Tenured faculty unit employees who are eligible for a Merit Salary Adjustment and who are below Step 19 (or Step 11 for those on the designated market discipline salary schedule) and who are not applying for promotion shall be evaluated by the department head/chair and the dean.
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B. Criteria (see C.A.M. 341.1.B)

C.A.M. 345.4 PERIODIC EVALUATION OF TENURED FACULTY UNIT
EMPLOYEES

A. Procedures

1. Tenured Professors (Librarians)

~~X~~ During the year in which a tenured professor (librarian) reaches Step 19 (or Step 11 for those on the designated market discipline salary schedule), s/he shall be subject to a periodic evaluation.

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~~X~~ During the year in which a tenured assistant or associate professor (senior assistant or associate librarian) has received a fourth Merit Salary Adjustment and/or has reached the maximum salary for a given rank, s/he shall be subject to a periodic evaluation if s/he does not apply for promotion.

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2. See C.A.M. 341.1.B.